



# ROTH IRA ROLLOVER/TRANSFER

For assistance in completing this application, please contact the Northern Funds Center at **800-595-9111** weekdays from 7:00 a.m. to 5:00 p.m. Central time. Please mail your application to: Northern Funds, P.O. Box 75986, Chicago, IL 60675-5986 or fax your application to: **312-557-0411**.

Please print all information.

## 1 PLEASE READ IMPORTANT INFORMATION

To convert from a Traditional IRA or transfer directly from another Roth IRA custodian, or to request a direct rollover from another Roth IRA, please provide your current custodian's contact information in Step 4. Once we've received the completed form from you, we will contact your current custodian and initiate this transfer for you. We will notify you when the transfer has been processed and the transfer has been invested in Northern Funds.

Please call your current custodian to verify their contact information, as well as any redemption requirements, such as a signature guarantee. Also, check how often funds are distributed. Current custodians may require the completion of additional paperwork. If all required documents are not included with this form, your transfer may be delayed. If possible, also include with this form a copy of your most recent statement from your current custodian. Also, check with your current custodian how often Funds are distributed.

If you are transferring from a brokerage account, please contact your broker/dealer. They may require that you contact them directly to authorize the sale of securities and/or mutual funds held in your account before they will enact the transfer. Failure to contact your broker/dealer may result in a delay of your transfer.

Transferring assets can generally take four to eight weeks to complete. Reduce delays by ensuring that all required forms are completed accurately and any additional paperwork is included.

## 2 PROVIDE YOUR INVESTOR INFORMATION

_____ FIRST NAME	_____ MIDDLE INITIAL	_____ LAST NAME
_____ SOCIAL SECURITY NUMBER	_____ DATE OF BIRTH	_____ MOTHER'S MAIDEN NAME
_____ ADDRESS		
_____ CITY/STATE/ZIP		
_____ TELEPHONE NUMBER (DAYTIME)	_____ TELEPHONE NUMBER (EVENING)	<b>TAX RESIDENCY</b>
_____ E-MAIL ADDRESS		<input type="checkbox"/> U.S. CITIZEN RESIDENT <input type="checkbox"/> RESIDENT ALIEN

## 3 SELECT YOUR INVESTMENT

<input type="checkbox"/> Invest in my existing Northern Funds Roth IRA	_____ ACCOUNT NUMBER	_____ PERCENTAGE ALLOCATION
	_____ ACCOUNT NUMBER	_____ PERCENTAGE ALLOCATION
	_____ ACCOUNT NUMBER	_____ PERCENTAGE ALLOCATION

- Open a new Northern Funds Roth IRA (please attach a completed Northern Funds Roth IRA Application)
- Conversion from Traditional IRA
- Conversion from Roth IRA

**4 IDENTIFY CURRENT CUSTODIAN**

Please provide contact information for distributing custodian, recordkeeper, or plan administrator.

NAME OF CURRENT CUSTODIAN (BANK, SAVINGS AND LOAN, MUTUAL FUND, ETC.)

CONTACT PERSON

CURRENT CUSTODIAN PHONE NUMBER

ADDRESS

ADDRESS

CITY/STATE/ZIP

MATURITY DATE (IF APPLICABLE)

ACCOUNT NUMBER

**5 INSTRUCTIONS TO CURRENT CUSTODIAN**

To Current Custodian: Please consider this your authority to send my Traditional or Roth IRA to Northern Funds. If my assets are currently held in Northern Funds through a brokerage account, please provide transfer-in-kind instructions instead of a check. If I am transferring to my Roth IRA from a CD, it should only be transferred at maturity. It is my intention to transfer these assets to Northern Funds, for which The Northern Trust Company acts as custodian.

**A.** Please sell:

all of my assets or  \$ \_\_\_\_\_ of my assets or \_\_\_\_\_% in the account identified in Step 4.

**B.** Transfer my assets by:

Sending a check regular mail payable to Northern Funds  
Northern Funds  
FBO Client Name  
Reference Number \_\_\_\_\_  
P.O. Box 75986  
Chicago, IL 60675-5986

Sending a check overnight payable to Northern Funds  
Northern Funds  
FBO Client Name  
Reference Number \_\_\_\_\_  
333 South Wabash Avenue  
Dept. W-38  
Chicago, IL 60604

Wire  
ABA #071000152  
FFC: Client Account Number

Transfer-in-kind by providing appropriate instructions to Northern Funds.  
*(Note: Money markets must be transferred in cash.)*

**6 PROVIDE YOUR SIGNATURE**

I certify that I have received and read the prospectus for the Funds into which I am transferring my Roth IRA.

YOUR SIGNATURE

DATE

SIGNATURE GUARANTEE (IF REQUIRED)\*

*\*Many custodians require a signature guarantee. Contact your current custodian for requirements*

**7 MEDALLION SIGNATURE GUARANTEE**

You can obtain a Medallion signature guarantee from a commercial bank or trust company, a member firm of a national stock exchange, or from an eligible guarantor institution as defined by the Securities and Exchange Commission.

**SIGNATURE GUARANTEED BY:**

**AFFIX SIGNATURE GUARANTEED STAMP**

NAME OF BANK OR FIRM

SIGNATURE OF OFFICER AND TITLE

ACCEPTANCE: Please be advised that The Northern Trust Company has been appointed to serve as successor custodian of this Roth IRA.

  
THE NORTHERN TRUST COMPANY AUTHORIZED SIGNATURE

Kimberly O'Connor  
PRINTED NAME

Appointment of Custodian Accepted: THE NORTHERN TRUST COMPANY